

010204

11324 U.S.PTO

Please type a plus sign (+) inside this box → [+]

PTO/SB/05 (12/97)

|   |   |               |             |    |
|---|---|---------------|-------------|----|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br><i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i> | Attorney Docket No.                                   | PARTLOW2      | Total Pages | 93 |
|   | <i>First Named Inventor or Application Identifier</i> |               |             |    |
|   | PARTLOW   |               |             |    |
|   | Express Mail Label No.                                | EV400863483US |             |    |

|  |  |
|--|--|
| <b>APPLICATION ELEMENTS</b><br><br><i>See MPEP chapter 600 concerning utility patent application contents.</i> | TO:<br><br><b>Mail Stop Patent Application</b><br>Commissioner for Patents<br>P.O. Box 1450<br>Alexandria, VA 22313-1450 |
|--|--|

1.  Fee Transmittal Form (e.g., PTO/SB/17) *(Submit an original, and a duplicate for fee processing)*
2.  Specification [Total Pages [ 84 ]]
3.  Drawing(s) (35 USC 113) [Total Sheets [ 6 ]]
4.  Oath or Declaration [Total Sheets [ 3 ]]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))
 

*(for continuation/divisional with Box 17 completed) [Note Box 5 below]*

    - i.  DELETION OF INVENTOR(S) Signed statement attached deleting Inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (usable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  Microfiche Computer Program (Appendix)
7.  Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Copy b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

8.  Assignment Papers (cover sheet & document(s))
9.  37 CFR 3.73 (b) Statement *(when there is an assignee)*  Power of Attorney
10.  English Translation Document *(if applicable)*
11.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
12.  Preliminary Amendment
13.  Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
14.  Small Entity Statement(s)  Statement filed in prior application. Status still proper and desired
15.  Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16.  Other: a)  
b)

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No:

#### 18. CORRESPONDENCE ADDRESS

|                    |   |
|--------------------|---|
| Customer No. 00545 | Anthony H. Handal Reg. No. 26,275<br>Roger Pitt Reg. No. 46,996<br>Phone: (212) 536-4870<br>Fax: (212) 536-4875 |
|--------------------|---|

 The PTO did not receive the following listed items: FIGURES, TABLES, EXHIBITS, SPREADSHEETS, SPECIFICATIONS
16834 U.S.PTO  
10/751086

010204

Application Number: Unknown Filing Date: Herewith

| FEE CALCULATION (continued)        |                              |              |        |  |                           |
|------------------------------------|------------------------------|--------------|--------|--|---------------------------|
| 3. ADDITIONAL FEES                 |                              |              |        |  |                           |
| Large Entity                       |                              | Small Entity |        |  |                           |
| Fee Code                           | Fee(s)                       | Fee Code     | Fee(s) | Fee Description  | Fee Paid                  |
| 1051                               | 130                          | 2051         | 65     | Surcharge - late filing fee or oath  |                           |
| 1052                               | 50                           | 2052         | 25     | Surcharge - late provisional filing fee or cover sheet                     |                           |
| 1053                               | 130                          | 1053         | 130    | Non-English specification  |                           |
| 1812                               | 2,520                        | 1812         | 2,520  | For filing a request for reexamination                                     |                           |
| 1804                               | 920*                         | 1804         | 920*   | Requesting publication of SIR prior to Examiner action                     |                           |
| 1805                               | 1,840*                       | 1805         | 1,840* | Requesting publication of SIR after Examiner action                        |                           |
| 1801                               | 770                          | 2801         | 385    | Request for Continued Examination  |                           |
| 1814                               | 110                          | 2814         | 55     | Statutory Disclaimer   |                           |
| 1251                               | 110                          | 2251         | 55     | Extension for reply within first month                                     |                           |
| 1252                               | 420                          | 2252         | 210    | Extension for reply within second month                                    |                           |
| 1253                               | 950                          | 2253         | 475    | Extension for reply within third month                                     |                           |
| 1254                               | 1,480                        | 2254         | 740    | Extension for reply within fourth month                                    |                           |
| 1255                               | 2,010                        | 2255         | 1,005  | Extension for reply within fifth month                                     |                           |
| 1401                               | 330                          | 2401         | 165    | Notice of Appeal   |                           |
| 1402                               | 330                          | 2402         | 165    | Filing a brief in support of an appeal                                     |                           |
| 1403                               | 290                          | 2403         | 145    | Request for oral hearing   |                           |
| 1451                               | 1,510                        | 1451         | 1,510  | Petition to institute a public use proceeding                              |                           |
| 1452                               | 110                          | 2452         | 55     | Petition to revive - unavoidable   |                           |
| 1452                               | 1,330                        | 2453         | 665    | Petition to revive - unintentional   |                           |
| 1501                               | 1,330                        | 2501         | 665    | Utility issue fee (or reissue)   |                           |
| 1502                               | 480                          | 2502         | 240    | Design issue fee   |                           |
| 1503                               | 640                          | 2503         | 320    | Plant issue fee  |                           |
| 1460                               | 130                          | 1460         | 130    | Petitions to the Commissioner  |                           |
| 123                                | 50                           | 123          | 50     | Petitions related to provisional applications                              |                           |
| 1806                               | 180                          | 1806         | 180    | Submission of Information Disclosure Statement                             |                           |
| 8021                               | 40                           | 8021         | 40     | Recording each patent assignment per property (times number of properties) |                           |
| 1809                               | 770                          | 2809         | 385    | Filing a submission after final rejection (37 CFR 1.129(a))                |                           |
| 1810                               | 770                          | 2810         | 385    | For each additional invention to be examined (37 CFR 1.129(b))             |                           |
| Other fee (specify)                |                              |              |        |  |                           |
| Other fee (specify)                |                              |              |        |  |                           |
| * Reduced by Basic Filing Fee Paid |                              |              |        | SUBTOTAL (3)   |                           |
| SUBMITTED BY                       |                              |              |        |  | Complete (if applicable): |
| Typed or Printed Name              | Anthony H. Handal/Roger Pitt |              |        | Reg. Number  | 26,275/46,996             |
| Signature                          |                              |              | Date   | January 2, 2004  | Deposit Account User ID   |
|                                    |                              |              |        |  | 11-1110                   |



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599 Lexington Avenue  
New York, NY 10022-6030  
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January 2, 2004

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Daniel PARTLOW et al.  
New U.S. Nonprovisional Patent Application  
Application No. Unknown Filed: Herewith  
"SYSTEM, METHOD AND COMPUTER PROGRAM FOR CREATING  
AND VALUING FINANCIAL INSTRUMENTS LINKED TO AVERAGE  
CREDIT SPREADS" Attorney Docket No. PARTLOW-2

SIR:

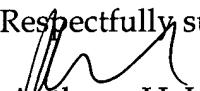
We enclose herewith:

- Utility Patent Application Transmittal Letter;
- New U.S. Patent Application including Specification (79 pp) and Claims (4 pp); and Abstract (2 pp);
- Declaration (unexecuted)
- Six (6) Sheets of Drawings;
- Fee Transmittal Form;
- Check for \$385.00 (See Fee Transmittal);
- Acknowledgment Postcard.

The Commissioner is hereby authorized to charge payment of the fees associated with this communication or credit any overpayment to Deposit Account No. 11-1110.

The applicant hereby petitions under 37 CFR 1.136 or other applicable rule to have the response period extended the number of months necessary to render the attached communication timely if a petition is required.

Respectfully submitted,

  
Anthony H. Handal

Reg. No. 26,275 Phone: (212) 536-4870

Roger Pitt

Reg. No. 46,996 Phone: (212) 536-4867

Express Mail Label No.  
EV400863483US

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# FEE TRANSMITTAL

## FOR FY 2003

*Patent fees are subject to annual revision.*

| Complete if Known       |            |                     |           |
|-------------------------|------------|---------------------|-----------|
| Application Number      |            | Unknown             |           |
| Filing Date             |            | Herewith            |           |
| First Named Inventor    |            | PARTLOW             |           |
| Examiner Name           |            | Unknown             |           |
| Group / Art Unit        |            | Unknown             |           |
| Total Amount of Payment | (\$385.00) | Attorney Docket No. | PARTLOW-2 |

**METHOD OF PAYMENT**

1. [X] The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 11-1110 Deposit Account Name: Kirkpatrick & Lockhart LLP

[X] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. [X] Payment Enclosed: [X] Check [ ] Money Order [ ] Other

**FEE CALCULATION****1. BASIC FILING FEE:**

| Large Entity |        | Small Entity |        |                        |                         |
|--------------|--------|--------------|--------|------------------------|-------------------------|
| Fee Code     | Fee(s) | Fee Code     | Fee(s) | Fee Description        | Fee Paid                |
| 1001         | 770    | 2001         | 385    | Utility filing fee     | \$385.00                |
| 1002         | 340    | 2002         | 170    | Design filing fee      |                         |
| 1003         | 530    | 2003         | 265    | Plant filing fee       |                         |
| 1004         | 770    | 2004         | 385    | Reissue filing fee     |                         |
| 1005         | 160    | 2005         | 80     | Provisional filing fee |                         |
|              |        |              |        |                        | SUBTOTAL (1) (\$385.00) |

**2. EXTRA CLAIM FEES:**

|                    |     | Extra<br>Claims | Fee from<br>below | Fee<br>Paid |
|--------------------|-----|-----------------|-------------------|-------------|
| Total Claims       | [ ] | -20** = [18]    | x [ ] = [ ]       |             |
| Independent Claims | [ ] | -3** = [2]      | x [ ] = [ ]       |             |
| Multiple Dependent |     | = [ ]           | x [ ] = [ ]       |             |

\*\* or number previously paid, if greater; For Reissues, see below

| Large Entity |        | Small Entity |        |  |                   |
|--------------|--------|--------------|--------|--|-------------------|
| Fee Code     | Fee(s) | Fee Code     | Fee(s) | Fee Description  | Fee Paid          |
| 1202         | 18     | 2202         | 9      | Claims in excess of 20                                     |                   |
| 1201         | 86     | 2201         | 43     | Independent claims in excess of 3                          |                   |
| 1203         | 290    | 2203         | 145    | Multiple dependent claim, if not paid                      |                   |
| 1204         | 86     | 2204         | 43     | **Reissue independent claims over original patent          |                   |
| 1205         | 18     | 2205         | 9      | ** Reissue claims in excess of 20 and over original patent |                   |
|              |        |              |        |  | SUBTOTAL (2) (\$) |